

# PATENT COOPERATION TREATY

Rec'd PCT/PTO

PCT/JP03/14424  
16 MAY 2005

PCT

From the INTERNATIONAL BUREAU

## NOTIFICATION OF RECEIPT OF RECORD COPY

(PCT Rule 24.2(a))

To:

SAKANOUE, Masaaki  
c/o SEIKO INSTRUMENTS INC.  
8, Nakase 1-chome, Mihama-ku  
Chiba-shi, Chiba 261-8507  
Japan

RECEIVED

04.1.13

Seiko Instruments Inc.  
PATENT Dept.

Date of mailing (day/month/year)

30 December 2003 (30.12.03)

## IMPORTANT NOTIFICATION

Applicant's or agent's file reference

03-628

International application No.

PCT/JP03/14424

The applicant is hereby notified that the International Bureau has received the record copy of the international application as detailed below.

Name(s) of the applicant(s) and State(s) for which they are applicants:

SEIKO INSTRUMENTS INC. (for all designated States except US)

IGARASHI, Katsuyuki et al (for US)

International filing date : 13 November 2003 (13.11.03)

Priority date(s) claimed : 15 November 2002 (15.11.02)

Date of receipt of the record copy  
by the International Bureau : 05 December 2003 (05.12.03)

List of designated Offices :

EP : AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO, SE, SI, SK, TR  
National : CN, JP, KR, US

## ATTENTION

The applicant should carefully check the data appearing in this Notification. In case of any discrepancy between these data and the indications in the international application, the applicant should immediately inform the International Bureau.

In addition, the applicant's attention is drawn to the information contained in the Annex, relating to:

- ☒ time limits for entry into the national phase - see updated important information (as of April 2002)
- ☒ confirmation of precautionary designations (if applicable)
- ☒ requirements regarding priority documents (if applicable)

A copy of this Notification is being sent to the receiving Office and to the International Searching Authority.

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

Facsimile No. (41-22) 338.90.90

Authorized officer:

Marianne ROUX (Fax 338 9090)

Telephone No. (41-22) 338 9574

PATENT COOPERATION TREATY

16 MAY 2005

PCT

**NOTIFICATION CONCERNING  
SUBMISSION OR TRANSMITTAL  
OF PRIORITY DOCUMENT**

(PCT Administrative Instructions, Section 411)

From the INTERNATIONAL BUREAU

To:

SAKANOUE, Masaaki  
c/o SEIKO INSTRUMENTS INC.  
8, Nakase 1-chome, Mihama-ku  
Chiba-shi, Chiba 261-8507  
Japan

Date of mailing (day/month/year) 14 February 2004 (14.02.2004)	<b>IMPORTANT NOTIFICATION</b>
Applicant's or agent's file reference 03-628	
International application No. PCT/JP2003/014424	International filing date (day/month/year) 13 November 2003 (13.11.2003)
International publication date (day/month/year) Not yet published	Priority date (day/month/year) 15 November 2002 (15.11.2002)
Applicant  SEIKO INSTRUMENTS INC. et al	

- By means of this Form, which replaces any previously issued notification concerning submission or transmittal of priority documents, the applicant is hereby notified of the date of receipt by the International Bureau of the priority document(s) relating to all earlier application(s) whose priority is claimed. Unless otherwise indicated by the letters "NR", in the right-hand column or by an asterisk appearing next to a date of receipt, the priority document concerned was submitted or transmitted to the International Bureau in compliance with Rule 17.1(a) or (b).
- (If applicable) The letters "NR" appearing in the right-hand column denote a **priority document which, on the date of mailing of this Form, had not yet been received by the International Bureau** under Rule 17.1(a) or (b). Where, under Rule 17.1(a), the priority document must be submitted by the applicant to the receiving Office or the International Bureau, but the applicant fails to submit the priority document within the applicable time limit under that Rule, **the attention of the applicant is directed** to Rule 17.1(c) which provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.
- (If applicable) An asterisk(\*) appearing next to a date of receipt, in the right-hand column, denotes a **priority document submitted or transmitted to the International Bureau but not in compliance with Rule 17.1(a) or (b)** (the priority document was received after the time limit prescribed in Rule 17.1(a) or the request to prepare and transmit the priority document was submitted to the receiving Office after the applicable time limit under Rule 17.1(b)). Even though the priority document was not furnished in compliance with Rule 17.1(a) or (b), the International Bureau will nevertheless transmit a copy of the document to the designated Offices, for their consideration. In case such a copy is not accepted by the designated Office as priority document, Rule 17.1(c) provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.

<u>Priority date</u>	<u>Priority application No.</u>	<u>Country or regional Office or PCT receiving Office</u>	<u>Date of receipt of priority document</u>
15 Nove 2002 (15.11.2002)	2002-332044	JP	09 Janu 2004 (09.01.2004)

<p align="center"><b>The International Bureau of WIPO</b> 34, chemin des Colombettes 1211 Geneva 20, Switzerland</p> <p>Facsimile No. (41-22) 338.90.90</p>	<p>Authorized officer</p> <p align="center">taïeb AKREMI (Fax 338 9090)</p> <p>Telephone No. (41-22) 338 9415</p>
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PATENT COOPERATION TREATY

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From the INTERNATIONAL BUREAU

NOTIFICATION OF THE RECORDING  
OF A CHANGE

(PCT Rule 92bis.1 and  
Administrative Instructions, Section 422)

To:

MATSUSHITA, Yoshiharu  
AIOS Hiroo Building 807, 11-2,  
Hiroo 1-chome, Shibuya-ku  
Tokyo 150-0012  
Japan

Date of mailing (day/month/year) 22 October 2004 (22.10.2004)	IMPORTANT NOTIFICATION
Applicant's or agent's file reference 03-628	
International application No. PCT/JP2003/014424	International filing date (day/month/year) 13 November 2003 (13.11.2003)

1. The following indications appeared on record concerning:		
<input type="checkbox"/> the applicant	<input type="checkbox"/> the inventor	<input checked="" type="checkbox"/> the agent
<input type="checkbox"/> the common representative		
Name and Address SAKANOUE, Masaaki c/o SEIKO INSTRUMENTS INC. 8, Nakase 1-chome, Mihama-ku Chiba-shi, Chiba 261-8507 Japan	State of Nationality	State of Residence
	Telephone No. 043-211-1150	
	Facsimile No. 043-211-8020	
	Teleprinter No.	
2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:		
<input type="checkbox"/> the person	<input checked="" type="checkbox"/> the name	<input checked="" type="checkbox"/> the address
<input type="checkbox"/> the nationality		
<input type="checkbox"/> the residence		
Name and Address MATSUSHITA, Yoshiharu AIOS Hiroo Building 807, 11-2, Hiroo 1-chome, Shibuya-ku Tokyo 150-0012 Japan	State of Nationality	State of Residence
	Telephone No. 03-3440-8651	
	Facsimile No. 03-5475-5947	
	Teleprinter No.	
3. Further observations, if necessary:		
4. A copy of this notification has been sent to:		
<input checked="" type="checkbox"/> the receiving Office	<input type="checkbox"/> the designated Offices concerned	
<input type="checkbox"/> the International Searching Authority	<input checked="" type="checkbox"/> the elected Offices concerned	
<input checked="" type="checkbox"/> the International Preliminary Examining Authority	<input type="checkbox"/> other:	

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland	Authorized officer Jaime LEITAO
Facsimile No. (41-22) 338.90.90	Telephone No. (41-22) 338 9470

PATENT COOPERATION TREATY

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From the INTERNATIONAL BUREAU

NOTIFICATION OF THE RECORDING  
OF A CHANGE

(PCT Rule 92bis.1 and  
Administrative Instructions, Section 422)

To:

SAKANOUE, Masaaki  
c/o SEIKO INSTRUMENTS INC.  
8, Nakase 1-chome, Mihama-ku  
Chiba-shi, Chiba 261-8507  
Japan

Date of mailing (day/month/year)

18 October 2004 (18.10.2004)

Applicant's or agent's file reference

03-628

IMPORTANT NOTIFICATION

International application No.

PCT/JP2003/014424

International filing date (day/month/year)

13 November 2003 (13.11.2003)

1. The following indications appeared on record concerning:

☒ the applicant ☐ the inventor ☐ the agent ☐ the common representative

Name and Address

SEIKO INSTRUMENTS INC.  
8, Nakase 1-chome, Mihama-ku  
Chiba-shi, Chiba 261-8507  
Japan

State of Nationality

JP

State of Residence

JP

Telephone No.

Facsimile No.

Teleprinter No.

2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:

☐ the person ☐ the name ☐ the address ☐ the nationality ☐ the residence

Name and Address

SEIKO INSTRUMENTS INC.

EPO -DG 1

02. 11. 2004

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State of Nationality

JP

State of Residence

JP

Telephone No.

043-211-1150

Facsimile No.

043-211-8020

Teleprinter No.

3. Further observations, if necessary:

Please note change of name in japanese language.

4. A copy of this notification has been sent to:

☒ the receiving Office ☒ the designated Offices concerned  
☐ the International Searching Authority ☐ the elected Offices concerned  
☐ the International Preliminary Examining Authority ☐ other:

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

Facsimile No. (41-22) 338.90.90

Authorized officer

Lazar Joseph PANAKAL (Fax 338 9090)

Telephone No. (41-22) 338 9634

16 MAY 2005

From the INTERNATIONAL BUREAU

PCT

NOTICE INFORMING THE APPLICANT OF THE  
COMMUNICATION OF THE INTERNATIONAL  
APPLICATION TO THE DESIGNATED OFFICES

(PCT Rule 47.1(c), first sentence)

To:

SAKANOE, Masaaki  
c/o SEIKO INSTRUMENTS INC.  
8, Nakase 1-chome, Mihama-ku  
Chiba-shi, Chiba 261-8507  
JAPON

Date of mailing (day/month/year)

03 June 2004 (03.06.2004)

Applicant's or agent's file reference

03-628

## IMPORTANT NOTICE

International application No.

PCT/JP2003/014424

International filing date (day/month/year)

13 November 2003 (13.11.2003)

Priority date (day/month/year)

15 November 2002 (15.11.2002)

Applicant

SEIKO INSTRUMENTS INC. et al

1. Notice is hereby given that the International Bureau has communicated, as provided in Article 20, the international application to the following designated Offices on the date indicated above as the date of mailing of this notice:

CN, EP, JP, KR, US

In accordance with Rule 47.1(c), third sentence, those Offices will accept the present notice as conclusive evidence that the communication of the international application has duly taken place on the date of mailing indicated above and no copy of the international application is required to be furnished by the applicant to the designated Office(s).

2. The following designated Offices have waived the requirement for such a communication at this time:

None

The communication will be made to those Offices only upon their request. Furthermore, those Offices do not require the applicant to furnish a copy of the international application (Rule 49.1(a-bis)).

3. Enclosed with this notice is a copy of the international application as published by the International Bureau on 03 June 2004 (03.06.2004) under No. WO 2004/046801

4. **TIME LIMITS for filing a demand for international preliminary examination and for entry into the national phase**

The applicable time limit for entering the national phase will, subject to what is said in the following paragraph, be 30 MONTHS from the priority date, not only in respect of any elected Office if a demand for international preliminary examination is filed before the expiration of 19 months from the priority date, but also in respect of any designated Office, in the absence of filing of such demand, where Article 22(1) as modified with effect from 1 April 2002 applies in respect of that designated Office. For further details, see *PCT Gazette* No. 44/2001 of 1 November 2001, pages 19926, 19932 and 19934, as well as the *PCT Newsletter*, October and November 2001 and February 2002 issues.

In practice, time limits other than the 30-month time limit will continue to apply, for various periods of time, in respect of certain designated or elected Offices. For regular updates on the applicable time limits (20, 21, 30 or 31 months, or other time limit), Office by Office, refer to the *PCT Gazette*, the *PCT Newsletter* and the *PCT Applicant's Guide*, Volume II, National Chapters, all available from WIPO's Internet site, at <http://www.wipo.int/pct/en/index.html>.

For filing a demand for international preliminary examination, see the *PCT Applicant's Guide*, Volume I/A, Chapter IX. Only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination (at present, all PCT Contracting States are bound by Chapter II).

It is the applicant's sole responsibility to monitor all these time limits.

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

Authorized officer

Yoshiko Kuwahara

Facsimile No.+41 22 740 14 35

Facsimile No.+41 22 338 90 90

特許協力条約

PCT

国際予備審査報告

(法第12条、法施行規則第56条)  
[PCT36条及びPCT規則70]

REC'D 22 SEP 2005

WIPO

PCT

出願人又は代理人 の書類記号 03-628	今後の手続きについては、国際予備審査報告の送付通知(様式PCT/ IPEA/416)を参照すること。	
国際出願番号 PCT/JP03/14424	国際出願日 (日.月.年) 13.11.03	優先日 (日.月.年) 15.11.02
国際特許分類(IPC) Int.Cl. <sup>7</sup> G02F1/1335		
出願人(氏名又は名称) セイコーインスツル株式会社		

1. 国際予備審査機関が作成したこの国際予備審査報告を法施行規則第57条(PCT36条)の規定に従い送付する。
2. この国際予備審査報告は、この表紙を含めて全部で <u>3</u> ページからなる。  <input type="checkbox"/> この国際予備審査報告には、附属書類、つまり補正されて、この報告の基礎とされた及び/又はこの国際予備審査機関に対してした訂正を含む明細書、請求の範囲及び/又は図面も添付されている。 (PCT規則70.16及びPCT実施細則第607号参照) この附属書類は、全部で <u>          </u> ページである。
3. この国際予備審査報告は、次の内容を含む。  I <input checked="" type="checkbox"/> 国際予備審査報告の基礎 II <input type="checkbox"/> 優先権 III <input type="checkbox"/> 新規性、進歩性又は産業上の利用可能性についての国際予備審査報告の不作成 IV <input type="checkbox"/> 発明の単一性の欠如 V <input checked="" type="checkbox"/> PCT35条(2)に規定する新規性、進歩性又は産業上の利用可能性についての見解、それを裏付けるための文献及び説明 VI <input type="checkbox"/> ある種の引用文献 VII <input type="checkbox"/> 国際出願の不備 VIII <input type="checkbox"/> 国際出願に対する意見

国際予備審査の請求書を受理した日 28.09.2004	国際予備審査報告を作成した日 31.08.2005	
名称及びあて先 日本国特許庁(IPEA/JP) 郵便番号100-8915 東京都千代田区霞が関三丁目4番3号	特許庁審査官(権限のある職員) 福島 浩司 電話番号 03-3581-1101 内線 3255	2L 9018

様式PCT/IPEA/409(表紙)(1998年7月)

## I. 国際予備審査報告の基礎

1. この国際予備審査報告は下記の出願書類に基づいて作成された。(法第6条(PCT14条)の規定に基づく命令に  
応答するために提出された差し替え用紙は、この報告書において「出願時」とし、本報告書には添付しない。  
PCT規則 70.16, 70.17)

☒ 出願時の国際出願書類

- ☐ 明細書 第 \_\_\_\_\_ ページ、出願時に提出されたもの  
明細書 第 \_\_\_\_\_ ページ、国際予備審査の請求書と共に提出されたもの  
明細書 第 \_\_\_\_\_ ページ、 \_\_\_\_\_ 付の書簡と共に提出されたもの

- ☐ 請求の範囲 第 \_\_\_\_\_ 項、出願時に提出されたもの  
請求の範囲 第 \_\_\_\_\_ 項、PCT19条の規定に基づき補正されたもの  
請求の範囲 第 \_\_\_\_\_ 項、国際予備審査の請求書と共に提出されたもの  
請求の範囲 第 \_\_\_\_\_ 項、 \_\_\_\_\_ 付の書簡と共に提出されたもの

- ☐ 図面 第 \_\_\_\_\_ ページ/図、出願時に提出されたもの  
図面 第 \_\_\_\_\_ ページ/図、国際予備審査の請求書と共に提出されたもの  
図面 第 \_\_\_\_\_ ページ/図、 \_\_\_\_\_ 付の書簡と共に提出されたもの

- ☐ 明細書の配列表の部分 第 \_\_\_\_\_ ページ、出願時に提出されたもの  
明細書の配列表の部分 第 \_\_\_\_\_ ページ、国際予備審査の請求書と共に提出されたもの  
明細書の配列表の部分 第 \_\_\_\_\_ ページ、 \_\_\_\_\_ 付の書簡と共に提出されたもの

2. 上記の出願書類の言語は、下記に示す場合を除くほか、この国際出願の言語である。

上記の書類は、下記の言語である \_\_\_\_\_ 語である。

- ☐ 国際調査のために提出されたPCT規則 23.1(b)にいう翻訳文の言語  
☐ PCT規則 48.3(b)にいう国際公開の言語  
☐ 国際予備審査のために提出されたPCT規則 55.2または55.3にいう翻訳文の言語

3. この国際出願は、ヌクレオチド又はアミノ酸配列を含んでおり、次の配列表に基づき国際予備審査報告を行った。

- ☐ この国際出願に含まれる書面による配列表  
☐ この国際出願と共に提出された磁気ディスクによる配列表  
☐ 出願後に、この国際予備審査(または調査)機関に提出された書面による配列表  
☐ 出願後に、この国際予備審査(または調査)機関に提出された磁気ディスクによる配列表  
☐ 出願後に提出した書面による配列表が出願時における国際出願の開示の範囲を超える事項を含まない旨の陳述書の提出があった  
☐ 書面による配列表に記載した配列と磁気ディスクによる配列表に記載した配列が同一である旨の陳述書の提出があった。

4. 補正により、下記の書類が削除された。

- ☐ 明細書 第 \_\_\_\_\_ ページ  
☐ 請求の範囲 第 \_\_\_\_\_ 項  
☐ 図面 図面の第 \_\_\_\_\_ ページ/図

5. ☐ この国際予備審査報告は、補充欄に示したように、補正が出願時における開示の範囲を超えてされたものと認められるので、その補正がされなかったものとして作成した。(PCT規則 70.2(c) この補正を含む差し替え用紙は上記1.における判断の際に考慮しなければならず、本報告に添付する。)

## V. 新規性、進歩性又は産業上の利用可能性についての法第 12 条 (PCT 35 条(2)) に定める見解、それを裏付ける文献及び説明

## 1. 見解

新規性 (N)	請求の範囲 1-10	有
	請求の範囲	無
進歩性 (IS)	請求の範囲 8-10	有
	請求の範囲 1-7	無
産業上の利用可能性 (IA)	請求の範囲 1-10	有
	請求の範囲	無

## 2. 文献及び説明 (PCT 規則 70.7)

文献 1 : JP 2001-305524 A (大日本印刷株式会社)  
2001. 10. 31、全文、全図 (ファミリーなし)

文献 2 : JP 2001-033768 A (セイコーエプソン株式会社)  
2001. 02. 09、全文、全図 (ファミリーなし)

請求の範囲 1-7 に係る発明は、国際調査報告で引用された文献 1 と新たに引用した文献 2 とにより進歩性を有しない。

文献 2 には、カラーフィルター基板のカラーフィルターを構成する着色層と液晶との間に反射膜を設けた構成が記載されており、また、該反射膜として「A1 が主成分の金属」、「Ag などの・・・金属」が記載されている。(段落番号【0028】)

尚、反射膜と着色層との間の透明絶縁膜の材料として、珪素酸化物やチタン酸化物は通常使用されている材料である。

請求の範囲 8-10 に係る発明は、国際調査報告に引用されたいずれの文献にも記載されておらず、当業者にとって自明なものでもない。